

ATTACHMENT A - Outline of Suggestion

1. Except as indicated in paragraph 3 below, I suggest that we discontinue the fitness report, form 45, for employees in grade GS-9 and above and substitute a requirement for a periodic record of discussions between the employee and supervisor with emphasis on forward planning and goals to be achieved. The forward planning sets the framework for the specific goals which the employee agrees to work toward. The employee is provided an opportunity to influence, within proper limits, the goals set for his achievement.

2. A Report of Joint Discussion of Goals would be required:

a. Within 60 days after:

- (1) an employee enters on duty in a new assignment.
- (2) The supervisor is changed
- (3) The nature of the job and its goals are materially changed.

The report should be prepared as soon as feasible after the employee is sufficiently engrossed in the new job to be able to contribute mature views as to desirable goals and performance factors.

b. On an annual schedule, unless such a report has been prepared for some other reason within 90 days.

3. If it is considered that a more comprehensive and detailed record of employee's past performance is required, then, I suggest that the present form 45 be required in addition to the proposed Report of Joint Discussion of Goals:

- 2 -

- a. At the end of each tour or change of Station, or
 - b. When a supervisor of more than one year's duration is transferred, or
 - c. At each two year interval, provided such a report was not prepared within one year.
 - d. As required by special circumstances (e.g. as basis for possible adverse action).
4. See attachment B for format of Report.

ATTACHMENT B - Format of Report on Joint Discussion of Goals

Section A (same as form 45)

Section B

1. Include a short and succinct paragraph, developed jointly by employee and supervisor, covering the objectives to be accomplished by the employee during the upcoming period (usually one year). In a static situation, the objective may be to continue with little change in technique or emphasis, but fluid situations should reflect the best joint estimate of upcoming problems and a statement of the general approach to be used in reaching the agreed goals. The paragraph should answer the question: "What particular aspects and features of the job should be emphasized to accomplish desirable goals".

2. a. List up to five pertinent performance factors that are required to ensure accomplishment of the agreed goals. It is important that performance factors be keyed closely to the goals (how the goals will be achieved). Select pertinent items from Sections B and C of Form 45-I or in the case of "D" Careerists see paras 2, 3, and 4 of

b. Record that each factor was reviewed jointly and include the extent and nature of guidance provided by the supervisor to assist the employee in reaching the goals. The purpose of such review has two objectives: to ensure that the employee knows where and how he stands with respect to current performance and clearly understands just how he is to accomplish the jointly agreed goals for the future. These objectives are best accomplished by sympathetic guidance, including a frank discussion of strengths and weaknesses pointed primarily at future performance factors. Properly handled, such guidance and discussions pointed to the future more effectively serve both purposes than a review and criticism of identical weaknesses in past performance. The employee perceives the need for correction without being forced into a defensive posture.

- 2 -

Section C (Same as Section D of form 45, except that employee certifies that he participated in drafting and agrees on the statement of goals (B 1) and the performance factors (B2) and that the supervisor did provide the guidance on performance factors as indicated in B2 above.)

ATTACHMENT C - Advantages

PERSONNEL EVALUATIONS

1. Some form of periodic evaluation of personnel is required for management purposes.
2. The present system requires periodic reports based on past performance which are signed by both the employee and supervisor.
3. A fitness report which gives praise for past performance results in very little change in the employee's attitude, effort or devotion to duty; such a report with criticism usually results in deterioration of employee's morale, attitude and commitment to the job.
4. A very desirable managerial objective is a common understanding and agreement at all levels on a clear statement of goals and the performance factors which support and lead to such goals. Obviously, the overall goals are established by law and official directives, but while individual contributing goals must fit into the larger framework, the latter should be tailored with due consideration to the capabilities and desires of the affected persons.
5. Modern management gives emphasis to the forward planning developmental process whereby the employee is provided an opportunity to influence the goals toward which he must work. From the employee's point of view, an opportunity to influence the boss, to have an impact on the methods, techniques and goals is more likely to result in improved performance than a "pat on the head".
6. The present system of fitness reports has only small value in development of personnel or better achievement of goals.

- 2 -

7. The proposed Report of Joint Discussion of Goals is a long step toward achievement of a common understanding of goals and performance factors. Employee participation in establishing these commits him to achievement of the goals. At the same time, supervisor guidance on the pertinent performance factors pointed to future actions identifies both strengths and weaknesses of the employee without development of a defensive posture as a reaction to direct criticism of past performance.